

Cat. 3 FILED
8/18/2021

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1:21-CR-00512JUDGE JENWEBER
MAGISTRATE JUDGE JANTZ**FELONY**THOMAS G. BRUTON
CLERK, U.S. DISTRICT COURT**UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF ILLINOIS****DESIGNATION SHEET FOR CRIMINAL PROCEEDINGS**

1. Is this an indictment or information arising out of offenses charged in one or more previously-filed complaints signed by a magistrate judge? (You must answer 1b even if the answer is No) **No**

1a. If the answer is "Yes," list the case number and title of the earliest filed complaint:

1b. Should this indictment or information receive a new case number from the court? **Yes**

2. Is this an indictment or information that supersedes one or more previously-filed indictments or informations? **No**

2a. If the answer is "Yes," list the case number and title of the earliest filed superseded indictment or information and the name of the assigned judge (Local Rule 40.3(b)(2)):

3. Is this a re-filing of a previously dismissed indictment or information? **No**

4. Is this a case arising out of the failure of the defendant to appear in a criminal proceeding in this Court? **No**

5. Is this a transfer of probation supervision from another district to this District? **No**

6. What level of offense is this indictment or information? **Felony - Securities Fraud**

7. Does this indictment or information involve eight or more defendants? **No**

8. Does this indictment or information include a conspiracy count? **No**

9. Identify the type of offense that describes the count, other than any conspiracy count, with the most severe penalty: **Other Fraud (III)**

10. List the statute of each of the offenses charged in the indictment or information.

15 U.S.C. §§ 78j(b) and 78ff(a); 17 C.F.R. § 240.10b-5

/s/ Jared Hasten
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Jared Hasten
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